Internal Auditing

Index of Articles for 2006 (Volume 21, Numbers 1-6)

(see issue and page numbers in bold)

ACCOUNTING

The Stock Options Scandal: A Comprehensive Guide for Internal Auditors ..... **Nov./Dec., 3-17**

AUDIT COMMITTEES

Audit Committee Effectiveness: What Works Best (*book review*) ..... **March/April, 47-48**

Board Perspectives: Building Value Through Strategy, Risk Assessment, and Renewal (*book review*) ..... **Nov./Dec., 44-45**

Making the Audit Universe Common Ground ..... **Sept./Oct., 31-35**

BEST PRACTICES

Assessing Internal Audit Quality ..... **May/June, 26-33**

Global Auditing: Challenges and Opportunities for Internal Auditors ..... **Sept./Oct., 23-29**

The Many Benefits of Mentoring Programs ..... **Nov./Dec., 18-23**

BOOK AND RESEARCH REVIEWS

Audit Committee Effectiveness: What Works Best ..... **March/April, 47-48**

Auditing the Risk Management Process ..... **March/April, 45-46**

Audit Planning: A Risk-Based Approach ..... **Nov./Dec., 43-44**

Blink: The Power of Thinking Without Thinking ..... **Nov./Dec., 45**

Board Perspectives: Building Value Through Strategy, Risk Assessment, and Renewal ..... **Nov./Dec., 44-45**

Continuous Auditing: An Operational Model for Internal Auditors ..... **March/April, 43-44**

Continuous Auditing: Implications for Assurance, Monitoring, and Risk Assessment ..... **March/April, 44**

Essentials of Financial Risk Management ..... **March/April, 46**

Executive Road Map to Fraud Prevention and Internal Control: Creating a Culture of Compliance ..... **May/June, 45-46**

Making Great Decisions in Business and Life ..... **May/June, 46**

Management of IT Auditing (Global Technology Audit Guide [GTAG] No. 4) ..... **May/June, 47**

Manager's Guide to Compliance: Sarbanes-Oxley, COSO, ERM, COBIT, IFRS, Basel II, OMB A-123, ASX 10, OECD Principles, Turnbull Guidance, Best Practices, and Case Studies ..... **Sept./Oct., 47-48**

Managing and Auditing Privacy Risks: Global Technology Audit Guide (GTAG) No. 5 ..... **Sept./Oct., 46-47**

Sarbanes-Oxley for Nonprofits: A Guide to Building a Competitive Advantage ..... **Sept./Oct., 48**

The Sarbanes-Oxley Section 404 Implementation Toolkit: Practice Aids for Managers and Auditors ..... **March/April, 46-47**

Security Controls for Sarbanes-Oxley Section 404 IT Compliance: Authorization, Authentication, and Access ..... **May/June, 46-47**

Think!: Why Crucial Decisions Can't Be Made in the Blink of an Eye ..... **Nov./Dec., 45-46**

CONTINUOUS AUDITING

Cost-Effective Continuous Assurance ..... **July/August, 26-36**

Continuous Auditing: An Effective Tool for Internal Auditors ..... **March/April, 27-35**

Continuous Auditing: An Operational Model for Internal Auditors (*book review*) ..... **March/April, 43-44**

Continuous Auditing: Implications for Assurance, Monitoring, and Risk Assessment (*book review*) ..... **March/April, 44**

CORPORATE GOVERNANCE

Executive Compensation and Corporate Governance ..... **March/April, 36-38**

Ten Conclusions on Corporate Governance, Accounting, and Auditing ..... **July/August, 45-48**

What Role Is Your Internal Audit Function Playing in Corporate Governance? ..... **Nov./Dec., 37-39**

What to Do About Smaller Public Companies' Internal Controls? ..... **Jan./Feb., 41-43**

Why Bad Governance Persists ..... **Sept./Oct., 41-43**

ETHICS

How Well Do You Understand the IIA Code of Ethics? ..... **Sept./Oct., 17-22**

FRAUD

Executive Road Map to Fraud Prevention and Internal Control: Creating a Culture of Compliance (*book review*) ..... **May/June, 45-46**

The Stock Options Scandal: A Comprehensive Guide for Internal Auditors ..... **Nov./Dec., 3-17**

INFORMATION TECHNOLOGY & SYSTEMS

Auditing Windows Security ..... **Sept./Oct., 44-45**

Control Assessment in a Data Warehouse Environment ..... **July/August, 14-25**

Delegation of Administration in Windows Active Directory ..... **May/June, 42-44**

Deploying Audit Settings and Reporting What Is Configured ..... **Nov./Dec., 40-42**

Ensuring Effective Enterprise IT Risk Management ..... **Nov./Dec., 24-27**

The Good, the Bad, and the Ugly of the Least Privilege User Account ..... **March/April, 40-42**

Management of IT Auditing: Global Technology Audit Guide (GTAG) No. 4 (*book review*) ..... **May/June, 47**

Managing and Auditing Privacy Risks: Global Technology Audit Guide (GTAG) No. 5 (*book review*) ..... **Sept./Oct., 46-47**

Maximizing Information Integrity to Achieve Internal Audit Objectives ..... **May/June, 20-25**

Security Controls for Sarbanes-Oxley Section 404 IT Compliance: Authorization, Authentication, and Access (*book review*) ..... **May/June, 46-47**

Software for Sarbanes-Oxley Compliance ..... **Jan./Feb., 12-17**

Technology Tools: Effectively Arming Internal Audit ..... **Jan./Feb., 3-11**

Using Group Policy to Establish Security and Maintain Compliance for Windows Computers ..... **Jan./Feb., 44-48**

What's New in CobiT 4.0 ..... **July/August, 37-44**

INTERNAL CONTROLS

Control Assessment in a Data Warehouse Environment ..... **July/August, 14-25**

Emerging Trends in Reporting Material Weaknesses ..... **Jan./Feb., 23-40**

Executive Road Map to Fraud Prevention and Internal Control: Creating a Culture of Compliance (*book review*) ..... **May/June, 45-46**

Mending the Holes in SOX: The Control Matrix as an Internal Audit Tool .... **Jan./Feb., 18-22**

Security Controls for Sarbanes-Oxley Section 404 IT Compliance: Authorization, Authentication, and Access (*book review*) ..... **May/June, 46-47**

What's New in CobiT 4.0 ..... **July/August, 37-44**

What to Do About Smaller Public Companies' Internal Controls? ..... **Jan./Feb., 41-43**

PRIVACY

An Internal Audit Focus on Privacy Policies ... **March/April, 20-26**

Managing and Auditing Privacy Risks: Global Technology Audit Guide (GTAG) No. 5 (*book review*) ..... **Sept./Oct., 46-47**

RISK

Auditing the Risk Management Process (*book review*) ..... **March/April, 45-46**

Considering Risk in Audit Planning ..... **July/August, 3-12**

Ensuring Effective Enterprise IT Risk Management ..... **Nov./Dec., 24-27**

Essentials of Financial Risk Management (*book review*) ..... **March/April, 46**

Integrating the Balanced Scorecard and Enterprise Risk Management ..... **May/June, 34-38**

Looking for Risk in All the Right Places ..... **Sept./Oct., 3-16**

The New Risk Assessment Audit Standards .... **Nov./Dec., 28-36**

The Risk-Intelligent Internal Auditor... **March/April, 12-18**

Using Internal Audit to Manage Contract Risk ..... **March/April, 3-11**

SARBANES-OXLEY COMPLIANCE

Emerging Trends in Reporting Material Weaknesses ..... **Jan./Feb., 23-40**

Internal Auditing: Getting Beyond the Section 404 Implementation Crisis.... **May/June, 39-41**

Mending the Holes in SOX: The Control Matrix as an Internal Audit Tool .... **Jan./Feb., 18-22**

Sarbanes-Oxley for Nonprofits: A Guide to Building a Competitive Advantage (*book review*) ..... **Sept./Oct., 48**

The Sarbanes-Oxley Section 404 Implementation Toolkit: Practice Aids for Managers and Auditors (*book review*) ..... **March/April, 46-47**

Security Controls for Sarbanes-Oxley Section 404 IT Compliance: Authorization, Authentication, and Access (*book review*) ..... **May/June, 46-47**

Software for Sarbanes-Oxley Compliance ..... **Jan./Feb., 12-17**

Technology Tools: Effectively Arming Internal Audit ..... **Jan./Feb., 3-11**

What to Do About Smaller Public Companies' Internal Controls? ..... **Jan./Feb., 41-43**

TAX COMPLIANCE

Understanding the New Streamlined Sales Tax ..... **May/June, 3-14**

Using the Tax Law to Achieve Internal Audit Objectives ..... **May/June, 16-19**

WHISTLEBLOWER HOTLINES

Internal Auditors and the Corporate Complaint Program .... **Sept./Oct., 37-40**

Looking for Risk in All the Right Places ..... **Sept./Oct., 3-16**

United States Postal Service
Statement of Ownership, Management and Circulation

1. Publication Title	2. Publication Number	3. Filing Date
Internal Auditing	001-784	10/3/06
4. Issue Frequency	**5. No. of Issues Published Annually**	**6. Annual Subscription Price**
Bi-monthly	6	$230.00

7. Complete Mailing Address of Known Office of Publication — Contact Person: Jennifer Kalison; Tel: (212) 337-4102
395 Hudson Street, New York, NY 10014-3669

8. Complete Mailing Address of Headquarters or General Business Office of Publisher
395 Hudson Street, New York, NY 10014-3669

9. Full Names and Complete Mailing Addresses of Publisher, Editor, and Managing Editor

Publisher
Warren, Gorham & Lamont, division of RIA, 395 Hudson Street, New York, NY 10014-3669

Editor
Andrea Kingston, 395 Hudson Street, New York, NY 10014-3669

Managing Editor
Bruce Safford, 395 Hudson Street, New York, NY 10014-3669

10. Owner

Full Name	Complete Mailing Address
Thomson Corporation	Metro Center, 1 Station Place, Stamford, CT 06902

11. Known Bondholders, Mortgagees, and Other Security Holders Owning or Holding 1 Percent or More of Total Amount of Bonds, Mortgages, or Other Securities.

Full Name	Complete Mailing Address
None	

12. For Completion by Nonprofit Organizations: N/A

13. Publication Title	14. Issue Date for Circulation Data Below	
Internal Auditing	7/31/06	
15. Extent and Nature of Circulation	**Average No. Copies Each Issue During Preceding 12 Months**	**No. Copies of Single Issue Published Nearest to Filing Date**
a. Total Number of Copies (Net Press Run)	538	500
b. Paid and/or Requested Circulation (1) Paid/Requested Outside-County Mail Subscriptions	309	397
(2) Paid In-County Subscriptions	0	0
(3) Sales through Dealers and Carriers	0	0
(4) Other Classes Mailed Through the USPS	0	0
c. Total Paid and/or Requested Circulation (Sum of 15b. (1), (2), (3), and (4))	309	397
d. Free Distribution by Mail (1) Outside-County	25	7
(2) In-County	0	0
(3) Other Classes Mailed Through the USPS	0	0
e. Free Distribution Outside the Mail	118	93
f. Total Free Distribution (Sum of 15d. and 15e.)	143	100
g. Total Distribution (Sum of 15c. and 15f.)	452	497
h. Copies not Distributed	86	3
i. Total (Sum of 15g. and h.)	538	500
j. Percent Paid and/or Requested Circulation (15c. divided by 15g. times 100)	68.36%	79.88%

16. Publication of Statement of Ownership
☒ Publication Required. Will be printed in the Nov./Dec. 2006 issue of this publication. ☐ Publication not required

17. Signature and Title of Editor, Publisher, Business Manager, or Owner — Date
Jennifer Kalison, Fulfillment Coordinator — 9/29/06

I certify that all information furnished in this form is true and complete. I understand that anyone who furnishes false or misleading information on this form or who omits material or information requested on the forms may be subject to criminal sanctions (including fines and imprisonment) and/or civil sanctions (including multiple damages and civil penalties).

PS Form 3526, October 1999 Facsimile